

EXECUTIVE COMPETENCY PROFILE

The following is the competency profile for a highly competent and compliant Executive from a regulatory perspective. It captures the general knowledge, behaviours and skills they need to have and apply to support their leadership position within the dealer through their responsibility, accountability and authority. The required knowledge is dictated by the responsibilities and accountabilities of the role, which are both defined and informed by the authority of the Executive.

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1. General Regulatory Framework

Understand and apply the following as applicable:

- I. Role of securities and derivatives regulators, SRO and applicable laws
- II. Role of other financial service regulators and applicable laws
- III. Dealer business models and related areas
- IV. Offering and distribution of securities

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2. Corporate Governance and Ethics

Understand and apply the following as applicable:

- I. Corporate governance
- II. Ethics, conflicts of interest and confidentiality

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3. Duties, Liabilities and Defences

Understand and apply the following as applicable:

- I. Duties
- II. Liabilities
- III. Defences

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4. Risk Management and Oversight

Understand and apply the following as applicable:

- I. Risk management and internal controls
- II. Significant areas of risk